

Assistant Commissioner for Patents
Washington, D.C. 20231



Re: U.S. Patent Application No. 09/547,409
Title: INVESTMENT SYSTEM AND METHOD
Filed: April 12, 2000
Group Art Unit: 2768
Examiner: Not Known
Inventors: Gregory M. Finn and Bruce G. Bernstein
Attorney Docket No.: FINN-002

#5

TC 2700 MAIL ROOM

OCT 17 2000

RECEIVED

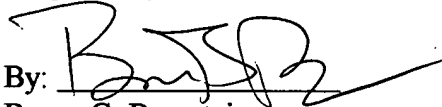
~~2768~~
2161

Sir:

We enclose the following papers for filing in the United States Patent and Trademark Office in connection with the above-referenced patent application:

1. Information Disclosure Statement under 37 C.F.R. §1.97(b);
2. Form PTO/SB/08A (substitute for form 1449A/PTO), including copies of 26 references; and
3. Preliminary Amendment.

Respectfully submitted,


By: 
Bruce G. Bernstein
Reg. No. 34,550

104 Woodside Rd.
Apartment B105
Haverford, PA 19041
(610) 649-9929

Date: Oct. 11, 2000

Certification Under 37 C.F.R. Section 1.10

I hereby certify that I am depositing this correspondence with the United States Postal Service on Oct. 11, 2000, in an envelope as "Express Mail Post Office to Addressee" Mail Label Number EK594325951US addressed to Assistant Commissioner of Patents, Washington, D.C. 20231.


Bruce G. Bernstein